



H-A

Section 1

PATENT  
Our Docket: P-LJ 4453

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Zapata and Reed

Serial No.: 09/706,325

Filed: November 3, 2000

For: NOVEL TRAF FAMILY PROTEINS

)  
)  
) Examiner: Not yet assigned

)  
) Group Art Unit: 1653

) I hereby certify that this correspondence is being deposited with the  
) United States Postal Service as first class mail in an envelope  
) addressed to: Box Missing Parts, Commissioner for Patents,  
) Washington, D.C. 20231, on May 11, 2001

) By Deborah L. Cadena  
) Deborah L. Cadena, Reg. No. 44,048

COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231  
Attention: BOX MISSING PARTS

May 11, 2001  
Date of Signature

MISSING PARTS TRANSMITTAL

Dear Sir:

In response to the Notice to File Missing Parts mailed  
February 13, 2001, enclosed are:

- X 1. A copy of the Notice to File Missing Parts.
- X 2. An executed Declaration for Patent Application in the  
above-identified U.S. Patent Application.
- X 3. A Recordation Form Cover Sheet and an executed  
Assignment for the above-identified U.S. Patent  
Application.
- X 4. Two executed Verified Statements (Declarations) Claiming  
Small Entity Status.
- X 5. An executed Power of Attorney for Patent Application by  
Assignee.
- X 6. An executed Statement Under CFR 3.73(b).
- X 7. Correction of Filing receipt with exhibits A and B.
- X 8. Petition for a one-month extension of time.

The filing fee has been calculated as shown below:

	NUMBER FILED		NUMBER EXTRA		RATE		FEE	
					SMALL ENTITY	OTHER ENTITY	SMALL ENTITY	OTHER ENTITY
TOTAL CLAIMS	73-20	=	53	x	\$9	\$18	= \$477	\$
INDEPEN- DENT CLAIMS	21-3	=	18	x	\$40	\$80	= \$720	\$
MULTIPLE DEPENDENT CLAIMS PRESENTED: YES <u>X</u> NO					\$135	\$270	= \$0	\$
					BASIC FEE		\$355	\$710
					TOTAL FEE		\$1,552	

- X 9. A check in the amount of \$1,712.00 to cover the filing fee  
of \$1,552.00, the surcharge fee of \$65.00, \$55.00 for the  
one-month extension of time and \$40.00 for recording an  
Assignment for the application is enclosed.

Inventors: Zapata and Reed  
Serial No.: 09/706,325  
Filed: November 3, 2000  
Page 2



X The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 03-0370. A duplicate copy of this sheet is enclosed.

X Any additional filing fees required under 37 C.F.R. 1.16.  
X Any patent application processing fees under 37 C.F.R. 1.17.

X The Commissioner is hereby authorized to charge to Deposit Account No. 03-0370 any fees under 37 CFR 1.17 which may be required under 37 CFR 1.136(a)(3) for an extension of time in any concurrent or future reply requiring a petition for extension of time. A duplicate copy of this sheet is enclosed.

Respectfully submitted

By: Deborah L. Cadena  
Deborah L. Cadena  
Reg. No. 44,048

CAMPBELL & FLORES LLP  
4370 La Jolla Village Drive  
7<sup>th</sup> Floor  
San Diego, California 92122  
Telephone: (858) 535-9001  
Facsimile: (858) 535-8949  
**USPTO CUSTOMER NO. 23601**



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/706,325	11/03/2000	Juan M. Zapata	P-LJ 4453

CONFIRMATION NO. 6212

FORMALITIES LETTER



\*OC000000005762025\*

23601  
CAMPBELL & FLORES LLP  
4370 LA JOLLA VILLAGE DRIVE  
7TH FLOOR  
SAN DIEGO, CA 92122

Date Mailed: 02/13/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$2554.
  - \$954 for 53 total claims over 20.
  - \$1600 for 20 independent claims over 3.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 3394.

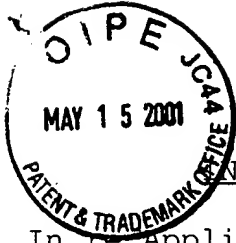
*A copy of this notice MUST be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/17/2001 SMTNASS1 00000076 09706325  
01 FC:201 355.00  
02 FC:203 477.00  
03 FC:202 720.00  
04 FC:205 65.00



Received  
**RECEIVED**

SEP 18 2001

PATENT

Our Docket: P-LJ 4453

TECH CENTER 1600/2900

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Zapata and Reed

Serial No.: 09/706,325

Filed: November 3, 2000

For: NOVEL TRAF FAMILY PROTEINS

Commissioner for Patents  
Washington, D.C. 20231  
ATTN: Box Missing Parts

) Examiner: Not Yet Known

) Group Art Unit: 1653

) I hereby certify that this correspondence is  
) being deposited with the United States  
) Postal Service as first class mail in an  
) envelope addressed to: Commissioner for Patents,  
) Washington, D.C. 20231, on May 11, 2001

By Deborah L. Cadena  
Deborah L. Cadena, Reg. No. 44,048

May 11, 2001  
Date of Signature

**CORRECTION OF FILING RECEIPT**

Sir:

The filing receipt issued in the above-identified application is incorrect for the reasons set forth below:

This application claims benefit of U.S. Serial No. 09/434,784, filed on November 5, 1999, which was converted to a provisional application by petition under 37 C.F.R. §153(c)(2)(i), now abandoned. Please note this priority on the corrected filing receipt.

Applicant Juan M. Zapata resides in San Diego, California and Applicant Reed resides in Rancho Santa Fe, California. A copy of the Declaration for Patent Application filed in response to the Notice to File Missing Parts on herewith (Exhibit A) and a copy of the Patent Bibliographic Data Sheet filed November 3, 2000 (Exhibit B) are attached hereto.

Inventors: Zapata and Reed  
Serial No.: 09/706,325  
Filed: November 3, 2000  
Page 2



RECEIVED  
SEP 18 2001  
TECH CENTER 1600/2900

The filing receipt issued in the above-identified application indicates 23 independent claims. This is incorrect. The correct number of independent claims is 21.

Attached is a copy of the Filing Receipt with the changes noted thereon. Applicants accordingly request that these corrections be made of record and that an amended Filing Receipt be issued.

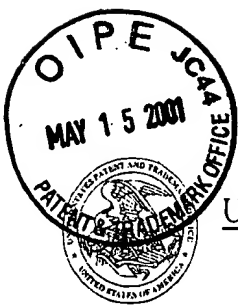
No fee is deemed necessary in connection with the filing of this Communication. However, if any fee is required, authorization is hereby given to charge any fees to Deposit Account No. 03-0370. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: May 11, 2001

Deborah L. Cadena  
Registration No. 44,048  
Telephone No.: (858) 535-9001  
Facsimile No.: (858) 535-8949

CAMPBELL & FLORES LLP  
4370 La Jolla Village Drive  
7<sup>th</sup> Floor  
San Diego, California 92122  
**USPTO CUSTOMER NO. 23601**

not  
ok  
cc

## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/706,325	11/03/2000	1653	0.00	P-LJ 4453	13	73	23-21

CONFIRMATION NO. 6212

23601  
CAMPBELL & FLORES LLP  
4370 LA JOLLA VILLAGE DRIVE  
7TH FLOOR  
SAN DIEGO, CA 92122

## FILING RECEIPT



\*OC000000005762024\*

Date Mailed: 02/13/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Juan M. Zapata, Residence Not Provided, San Diego, CA  
John C. Reed, Residence Not Provided, Rancho Santa Fe, CA

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A CONTINUATION OF 09/434,784 11/05/1999, which was converted to a provisional application, now abandoned.

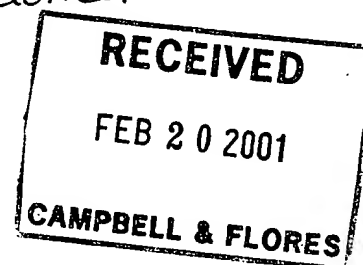
## Foreign Applications

If Required, Foreign Filing License Granted 02/13/2001

Projected Publication Date:

Non-Publication Request: No

Early Publication Request: No



## Title

Novel traf family proteins

## Preliminary Class

435

Data entry by : WHITE, JACKIE

Team : OIPE

Date: 02/13/2001





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



**THIS PAGE BLANK (USPTO)**